

## Business Continuity Plan Disclosure

Cary Street Partners has developed a Business Continuity Plan detailing how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions are unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

**Contacting Us** - If, after a significant business disruption, you cannot contact us as you usually do, you should call our alternative number (804) 340-8100 or check our website at [www.carystreetpartners.com](http://www.carystreetpartners.com) for our latest information. We will re-establish telephone service with our clients as soon as possible.

During a time of firm-wide service disruption and you are unable to contact our firm, you will be directed to your custodian for account servicing either through telephone message or our website.

**Our Business Continuity Plan** - We plan to quickly recover and resume business operations after a significant business disruption. We will respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption. Our business continuity plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

**Varying Disruptions** - Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe.

In case of a disruption affecting our Investment Banking locations, we will transfer our operations to an alternative site when needed and expect to recover and resume business within one to two business days, and you will be notified how to contact us through our customer emergency number (804) 340-8100.

In case of a disruption affecting our Wealth Management locations, operations can be quickly transferred to an alternative site and, if necessary, to our clearing firm. You will be notified how to contact us through our website [www.carystreetpartners.com](http://www.carystreetpartners.com) or our customer emergency number, (804) 340-8100. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

**For more information** - If you have questions about our business continuity planning, you may contact us at (804) 340-8100.